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ORIGINAL

February 26, 2013

FILED/ACCEPTED

via Hand Delivery

FEB 26 2013

Marlene H. Dortch
Office of the Secretary
Federal Communications Commission
445 12th Street, S.W.
Suite TW-A325
Washington, D.C. 20554

Federal Communications Commission
Office of the Secretary

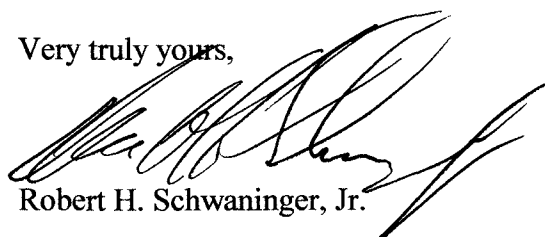
Re: EB Docket No. 06-36
Clifford E. Bade

Dear Secretary Dortch:

On behalf of Clifford E. Bade and in accord with Section 64.2009(e), we hereby submit their 2012 Annual Customer Proprietary Network Information (CPNI) Certification and associated documents.

If there is any question regarding this filing, please contact undersigned counsel.

Very truly yours,



Robert H. Schwaninger, Jr.

RHS:tg

No. of Copies rec'd 0+4
Lit. #/CODE

Annual 47 C.F.R. § 64.2009(e) CPNI Certification
EB Docket 06-36

Annual 64.2009(e) CPNI Certification for 2012

Date Completed: February 20, 2013

Name of licensee: Clifford E. Bade

Licensee's FRN: 0003965514

Name of signatory: Clifford Bade

Title of signatory: Owner

I, Clifford E. Bade, certify that I am the owner of the licensee above, and acting as an agent of the licensee, that I have personal knowledge that the licensee has established operating procedures that are adequate to ensure compliance with the Commission's CPNI rules. *See 47 C.F.R. § 64.2001 et seq. See, also, CC Docket No. 96-155 and WC Docket No. 04-36 and Public Notice, DA 13-61 (published January 16, 2013), Enforcement Advisory No. 2013-02.*

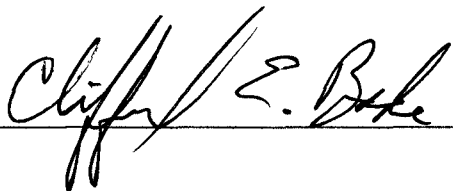
Attached to this certification is an accompanying statement explaining the licensee's procedures to ensure that the licensee is in compliance with the requirements set forth in section 64.2001 *et seq.* of the Commission's rules.

The Licensee has not taken any actions (proceedings instituted or petitions filed by a licensee at either state commissions, the court system, or at the Commission) against data brokers in the past year. At this time, the Licensee does not have any information to report with respect to the processes pretexters are using to attempt to access CPNI.

The Licensee did not receive any customer complaint in the past year concerning the unauthorized release of CPNI

The Licensee represents and warrants that the above certification is consistent with 47 C.F.R. § 1.17, and acknowledges that false statements to the Commission are punishable under Title 18 of the U.S. Code.

Signed

A handwritten signature in black ink, appearing to read "Clifford E. Bade", is written over a horizontal line.

CLIFFORD E. BADE POLICIES FOR USE OF CPNI

The following policies are hereby established for the use of Customer Proprietary Network Information (CPNI) in accord with the rules of the Federal Communications Commission (FCC). All employees, agents, affiliates and subcontractors are bound by these policies regarding the use and protection of customers' CPNI. Violations of these policies will cause the violator to be subjected to disciplinary or remedial action at the discretion of management.

It is important to realize that these policies have been created in compliance with FEDERAL LAW, specifically Title 47 of the United States Code of Federal Regulations, Sections 64.2001-9. These laws were created to protect our customers and our required protection will be deemed a priority for all purposes. Therefore, you must take seriously your obligation to comply with each of the following policies, in compliance with Section 222 of the Communications Act.

READ CAREFULLY

1. A customer's CPNI may be employed internally for the purpose of offering our existing customers additional services that we provide to the marketplace. Those services must, however, be offered by us and not affiliated companies, unless such use is approved by management to determine whether CPNI use is in accord with FCC guidelines.
2. Customer approval is required for use of that customer's CPNI if we are offering a different category of service from the one that the customer is presently receiving. However, one can offer Customer Premises Equipment (mobiles, consoles, portables) to deliver existing services that we are providing that customer, using that customer's CPNI.
3. Under no circumstances will anyone track a customer's use of its CPNI to determine whether that customer is contacting any competing provider of our services.
4. A Customer's CPNI can be used to protect that customer's safety of life or property; to offer adjunct-to-basic services (e.g. call forwarding); or to participate in research regarding the health effects related to the use of company-provided equipment.
5. When a customer's approval to employ its CPNI is required, the request should normally be made in writing to be signed by the customer, however,

oral approval is permitted but will require the recipient of that approval to make specific record of that approval including the date, time and identity of the customer representative who provides such approval. All such records must be filed within our records and be maintained for a period of not less than one year.

6. Any customer may revoke or limit its approval to our use of its CPNI. If this occurs, the incident should be recorded and that record made a portion of our files.
7. Opt-in or Opt-out policies that allow customers to choose to have products and services marketed to them by employment of their CPNI may be used by the company at some future date. Such policies are not presently used. If used, employees shall strictly adhere to all limitations and directions given for such policies.
8. In the event that the company markets its products and services in cooperation with a joint venturer or contractor, all such marketing using customers CPNI will not commence until that joint venturer or contractor agrees, in writing, to be bound to fulfill those obligations mandated under 47 C.F.R. §64.2007.
9. Prior to solicitation for customer approval to use their CPNI when such prior approval is required, the company will provide written notification to each such customer that explains that the customer is not required to give such approval and records of such notification will be maintained for at least one year. All such notifications must be approved by management to determine that the notification complies with 47 C.F.R. §64.2008.
10. These policies will be made available to all employees and fully explained to each employee to assure that they understand the nature of CPNI and customers' rights granted by the FCC. Any employee that does not understand these policies or requires further explanation of these policies will immediately contact their supervisor prior to taking any action which might violate these policies.
11. Any use of CPNI as a portion of a marketing campaign will be fully recorded and the documents recording each event, including the specific use, the services offered, whether the services are offered by the company or an affiliate, and all other relevant details of such use. Those records must be maintained by the company for no less than one year and will contain all information required under 47 C.F.R. §64.2009(c).

12. In the event of any complaint from a customer regarding use of its CPNI which the customer deems improper, the employee that responds to that complaint shall make a record of that complaint, including the means employed of addressing the customer's concern, and that record will be maintained in the company's files for at least one year. In the event that the problem arises due to circumstances associated with an Opt-out program that are not mere anomalies, management shall make notification to the FCC regarding such problems within five days of the customer(s) reporting of such problems, in accord with 47 C.F.R. §64.2009.

The above policies shall be monitored for compliance by company management, including periodic overview of customer records to assure that all necessary notifications and other relevant records are being maintained. A copy of this policy statement shall be distributed to each of the company's employees and any questions arising out of future compliance with these policies shall be communicated to management. In the event that any confusion arises regarding the applicability or interpretation of any of the above policies, employees shall first communicate such instance to management for the purpose of future handling and will not, until receiving further direction from management, disclose or use any customer's CPNI.

As an extra precaution, all persons covered by these policies should contact management for further directions and instructions in the event of the following:

- A. There is some question as to whether a customer representative has the authority to grant permission to use that customer's CPNI in cases where permission is required.
- B. Prior to commencing any marketing or sales campaign employing CPNI.
- C. Prior to commencing any marketing or sales campaign with any affiliated company employing either our company's gathered CPNI or the affiliated company's gathered CPNI.
- D. Prior to any action taken pursuant to any future opt-in or opt-out policy being implemented.
- E. In response to any request made by any law enforcement agency requesting CPNI as a portion of the investigation.

As further assistance to our employees, a copy of the applicable FCC rules has been attached hereto for reference

telephone exchange service or exchange access. Such term does not include a person insofar as such person is engaged in the provision of a commercial mobile service under section 332(c), except to the extent that the Commission finds that such service should be included in the definition of that term.

[64 FR 44425, Aug. 16, 1999]

§ 64.1903 Obligations of all incumbent independent local exchange carriers.

(a) Except as provided in paragraph (c) of this section, an incumbent independent LEC providing in-region, interstate, interexchange services or in-region international interexchange services shall provide such services through an affiliate that satisfies the following requirements:

(1) The affiliate shall maintain separate books of account from its affiliated exchange companies. Nothing in this section requires the affiliate to maintain separate books of account that comply with Part 32 of this title.

(2) The affiliate shall not jointly own transmission or switching facilities with its affiliated exchange companies. Nothing in this section prohibits an affiliate from sharing personnel or other resources or assets with an affiliated exchange company, and

(3) The affiliate shall acquire any services from its affiliated exchange companies for which the affiliated exchange companies are required to file a tariff at tariffed rates, terms, and conditions. Nothing in this section shall prohibit the affiliate from acquiring any unbundled network elements or exchange services for the provision of a telecommunications service from its affiliated exchange companies, subject to the same terms and conditions as provided in an agreement approved under section 252 of the Communications Act of 1934 as amended.

(b) Except as provided in paragraph (b)(1) of this section, the affiliate required in paragraph (a) of this section shall be a separate legal entity from its affiliated exchange companies. The affiliate may be staffed by personnel of its affiliated exchange companies, housed in existing offices of its affiliated exchange companies, and use its affiliated exchange companies' mar-

keting and other services, subject to paragraph (a)(3) of this section.

(1) For an incumbent independent LEC that provides in-region, interstate domestic interexchange services or in-region international interexchange services using no interexchange switching or transmission facilities or capability of the LEC's own (i.e., "independent LEC reseller,") the affiliate required in paragraph (a) of this section may be a separate corporate division of such incumbent independent LEC. All other provisions of this Subpart applicable to an independent LEC affiliate shall continue to apply, as applicable, to such separate corporate division.

(2) [Reserved]

(c) An incumbent independent LEC that is providing in-region, interstate, domestic interexchange services or in-region international interexchange services prior to April 18, 1997, but is not providing such services through an affiliate that satisfies paragraph (a) of this section as of April 18, 1997, shall comply with the requirements of this section no later than August 30, 1999.

[64 FR 44425, Aug. 16, 1999]

Subpart U—Customer Proprietary Network Information

SOURCE: 63 FR 20338, Apr. 24, 1998, unless otherwise noted.

§ 64.2001 Basis and purpose.

(a) *Basis.* The rules in this subpart are issued pursuant to the Communications Act of 1934, as amended.

(b) *Purpose.* The purpose of the rules in this subpart is to implement section 222 of the Communications Act of 1934, as amended, 47 U.S.C. 222.

§ 64.2003 Definitions.

Terms used in this subpart have the following meanings:

(a) *Affiliate.* An affiliate is an entity that directly or indirectly owns or controls, is owned or controlled by, or is under common ownership or control with, another entity.

(b) *Customer.* A customer of a telecommunications carrier is a person or entity to which the telecommunications carrier is currently providing service.

(c) *Customer proprietary network information (CPNI)*.

(1) Customer proprietary network information (CPNI) is:

(i) Information that relates to the quantity, technical configuration, type, destination, and amount of use of a telecommunications service subscribed to by any customer of a telecommunications carrier, and that is made available to the carrier by the customer solely by virtue of the customer-carrier relationship; and

(ii) Information contained in the bills pertaining to telephone exchange service or telephone toll service received by a customer of a carrier.

(2) Customer proprietary network information does not include subscriber list information

(d) *Customer premises equipment (CPE)*. Customer premises equipment (CPE) is equipment employed on the premises of a person (other than a carrier) to originate, route, or terminate telecommunications.

(e) *Information service*. Information service is the offering of a capability for generating, acquiring, storing, transforming, processing, retrieving, utilizing, or making available information via telecommunications, and includes electronic publishing, but does not include any use of any such capability for the management, control, or operation of a telecommunications system or the management of a telecommunications service.

(f) *Local exchange carrier (LEC)*. A local exchange carrier (LEC) is any person that is engaged in the provision of telephone exchange service or exchange access. For purposes of this subpart, such term does not include a person insofar as such person is engaged in the provision of commercial mobile service under 47 U.S.C. 332(c).

(g) *Subscriber list information (SLI)*. Subscriber list information (SLI) is any information:

(1) Identifying the listed names of subscribers of a carrier and such subscribers' telephone numbers, addresses, or primary advertising classifications (as such classifications are assigned at the time of the establishment of such service), or any combination of such listed names, numbers, addresses, or classifications, and

(2) That the carrier or an affiliate has published, caused to be published, or accepted for publication in any directory format.

(h) *Telecommunications carrier*. A telecommunications carrier is any provider of telecommunications services, except that such term does not include aggregators of telecommunications services (as defined in 47 U.S.C. 226(a)(2)).

§ 64.2005 Use of customer proprietary network information without customer approval.

(a) Any telecommunications carrier may use, disclose, or permit access to CPNI for the purpose of providing or marketing service offerings among the categories of service (i.e., local, interexchange, and CMRS) already subscribed to by the customer from the same carrier, without customer approval.

(1) If a telecommunications carrier provides different categories of service, and a customer subscribes to more than one category of service offered by the carrier, the carrier is permitted to share CPNI among the carrier's affiliated entities that provide a service offering to the customer.

(2) If a telecommunications carrier provides different categories of service, but a customer does not subscribe to more than one offering by the carrier, the carrier is not permitted to share CPNI among the carrier's affiliated entities.

(b) A telecommunications carrier may not use, disclose, or permit access to CPNI to market to a customer service offerings that are within a category of service to which the customer does not already subscribe to from that carrier, unless the carrier has customer approval to do so, except as described in paragraph (c) of this section.

(1) A wireless provider may use, disclose, or permit access to CPNI derived from its provision of CMRS, without customer approval, for the provision of CPE and information services. A wireline carrier may use, disclose or permit access to CPNI derived from its provision of local exchange service or interexchange service, without customer approval, for the provision of CPE and call answering, voice mail or

messaging, voice storage and retrieval services, fax store and forward, and protocol conversions.

(2) A telecommunications carrier may not use, disclose or permit access to CPNI to identify or track customers that call competing service providers. For example, a local exchange carrier may not use local service CPNI to track all customers that call local service competitors.

(c) A telecommunications carrier may use, disclose, or permit access to CPNI without customer approval, as described in this paragraph (c).

(1) A telecommunications carrier may use, disclose, or permit access to CPNI, without customer approval, in its provision of inside wiring installation, maintenance, and repair services.

(2) CMRS providers may use, disclose, or permit access to CPNI for the purpose of conducting research on the health effects of CMRS.

(3) LECs and CMRS providers may use CPNI, without customer approval, to market services formerly known as adjunct-to-basic services, such as, but not limited to, speed dialing, computer-provided directory assistance, call monitoring, call tracing, call blocking, call return, repeat dialing, call tracking, call waiting, caller I.D., call forwarding, and certain centrex features.

(d) A telecommunications carrier may use, disclose, or permit access to CPNI to protect the rights or property of the carrier, or to protect users of those services and other carriers from fraudulent, abusive, or unlawful use of, or subscription to, such services.

[63 FR 20338 Apr. 24, 1998, as amended at 64 FR 53264, Oct. 1, 1999]

§ 64.2007 Notice and approval required for use of customer proprietary network information.

(a) A telecommunications carrier must obtain customer approval to use, disclose, or permit access to CPNI to market to a customer service to which the customer does not already subscribe to from that carrier.

(b) A telecommunications carrier may obtain approval through written, oral or electronic methods.

(c) A telecommunications carrier relying on oral approval must bear the

burden of demonstrating that such approval has been given in compliance with the Commission's rules in this part.

(d) Approval obtained by a telecommunications carrier for the use of CPNI outside of the customer's total service relationship with the carrier must remain in effect until the customer revokes or limits such approval.

(e) A telecommunications carrier must maintain records of notification and approval, whether oral, written or electronic, for at least one year.

(f) Prior to any solicitation for customer approval, a telecommunications carrier must provide a one-time notification to the customer of the customer's right to restrict use of, disclosure of, and access to that customer's CPNI.

(1) A telecommunications carrier may provide notification through oral or written methods.

(2) Customer notification must provide sufficient information to enable the customer to make an informed decision as to whether to permit a carrier to use, disclose or permit access to, the customer's CPNI.

(i) The notification must state that the customer has a right, and the carrier a duty, under federal law, to protect the confidentiality of CPNI.

(ii) The notification must specify the types of information that constitute CPNI and the specific entities that will receive the CPNI, describe the purposes for which CPNI will be used, and inform the customer of his or her right to disapprove those uses, and deny or withdraw access to CPNI at any time.

(iii) The notification must advise the customer of the precise steps the customer must take in order to grant or deny access to CPNI, and must clearly state that a denial of approval will not affect the provision of any services to which the customer subscribes.

(iv) The notification must be comprehensible and not be misleading.

(v) If written notification is provided, the notice must be clearly legible, use sufficiently large type, and be placed in an area so as to be readily apparent to a customer.

(vi) If any portion of a notification is translated into another language then

all portions of the notification must be translated into that language.

(vii) A carrier may state in the notification that the customer's approval to use CPNI may enhance the carrier's ability to offer products and services tailored to the customer's needs. A carrier also may state in the notification that it may be compelled to disclose CPNI to any person upon affirmative written request by the customer.

(viii) A carrier may not include in the notification any statement attempting to encourage a customer to freeze third party access to CPNI.

(ix) The notification must state that any approval, or denial of approval for the use of CPNI outside of the service to which the customer already subscribes to from that carrier is valid until the customer affirmatively revokes or limits such approval or denial.

(3) A telecommunications carrier's solicitation for approval must be proximate to the notification of a customer's CPNI rights.

[63 FR 20338, Apr. 24, 1998, as amended at 64 FR 53264, Oct. 1, 1999]

§ 64.2009 Safeguards required for use of customer proprietary network information.

(a) Telecommunications carriers must implement a system by which the status of a customer's CPNI approval can be clearly established prior to the use of CPNI.

(b) Telecommunications carriers must train their personnel as to when they are and are not authorized to use CPNI, and carriers must have an express disciplinary process in place.

(c) All carriers shall maintain a record, electronically or in some other manner, of their sales and marketing campaigns that use CPNI. The record must include a description of each campaign, the specific CPNI that was used in the campaign, the date and purpose of the campaign, and what products or services were offered as part of the campaign. Carriers shall retain the record for a minimum of one year.

(d) Telecommunications carriers must establish a supervisory review process regarding carrier compliance with the rules in this subpart for outbound marketing situations and maintain records of carrier compliance for a

minimum period of one year. Specifically, sales personnel must obtain supervisory approval of any proposed outbound marketing request.

(e) A telecommunications carrier must have an officer, as an agent of the carrier, sign a compliance certificate on an annual basis stating that the officer has personal knowledge that the company has established operating procedures that are adequate to ensure compliance with the rules in this subpart. The carrier must provide a statement accompanying the certificate explaining how its operating procedures ensure that it is or is not in compliance with the rules in this subpart.

[63 FR 20338, Apr. 24, 1998, as amended at 64 FR 53264, Oct. 1, 1999]

Subpart V—Telecommunications Carrier Systems Security and Integrity Pursuant to the Communications Assistance for Law Enforcement Act (CALEA)

SOURCE: 64 FR 51469, Sept. 23, 1999, unless otherwise noted.

§ 64.2100 Purpose.

Pursuant to the Communications Assistance for Law Enforcement Act, Public Law 103-414, 108 Stat. 4279 (1994) (codified as amended in sections of 18 U.S.C. and 47 U.S.C.), this subpart contains rules that require a telecommunications carrier to ensure that any interception of communications or access to call-identifying information effected within its switching premises can be activated only in accordance with appropriate legal authorization, appropriate carrier authorization, and with the affirmative intervention of an individual officer or employee of the carrier acting in accordance with regulations prescribed by the Commission.

§ 64.2101 Scope.

The definitions included in this subchapter shall be used solely for the purpose of implementing CALEA requirements.

§ 64.2102 Definitions.

(a) *Appropriate legal authorization.* The term *appropriate legal authorization* means: